

FINANCIAL ASSISTANCE FUNDING OPPORTUNITY ANNOUNCEMENT



National Nuclear Security Administration

Office of Defense Science

Stewardship Science Academic Alliances

Funding Opportunity Number: DE-PS52-07NA28065

**Announcement Initial
Type:**

CFDA Number: 81.112

Issue Date: 03/15/2007

Application Due Date: 05/15/2007 at 11:59:59 PM Eastern Time

NOTE: REQUIREMENTS FOR GRANTS.GOV

Where to Submit: Applications must be submitted through Grants.gov to be considered for award. You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements carefully and start the process immediately. Remember you have to update your CCR registration annually. If you have any questions about your registration, you should contact the Grants.gov Helpdesk at 1-800-518-4726 to verify that you are still registered in Grants.gov.

Registration Requirements: There are several one-time actions you must complete in order to

submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See www.grants.gov/GetStarted. Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/assets/OrganizationRegCheck.doc> to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements. It is suggested that the process be started as soon as possible.

IMPORTANT NOTICE TO POTENTIAL APPLICANTS: When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e. Grants.gov registration).

Questions: Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@grants.gov. Part VII of this announcement explains how to submit other questions to the National Nuclear Security Administration.

Application Receipt Notices

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of five e-mails. It is extremely important that the AOR watch for and save each of the e-mails. It may take up to two (2) business days from application submission to receipt of e-mail Number 2. When the AOR receives e-mail Number 5, it is their responsibility to follow the instructions in the e-mail to logon to IIPS and verify that their application was received by DOE. The titles of the five e-mails are:

- Number 1 - Grants.gov Submission Receipt Number
- Number 2 - Grants.gov Submission Validation Receipt for Application Number
- Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number
- Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number
- Number 5 - DOE e-Center Grant Application Received

The last e-mail will contain instructions for the AOR to register with the DOE e-Center. If the AOR is already registered with the DOE e-Center, the title of the last e-mail changes to:

- Number 5 - DOE e-Center Grant Application Received and Matched

This e-mail will contain the direct link to the application in IIPS. The AOR will need to enter their DOE e-Center user id and password to access the application.

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PART I – FUNDING OPPORTUNITY DESCRIPTION

A. OVERVIEW

Stockpile Stewardship Program and the Need for Scientists and Engineers

The Stockpile Stewardship Program (SSP) is a scientific approach to ensuring the safety, reliability, and performance of the nuclear stockpile in the absence of nuclear testing. The stewardship mission requires increased understanding of fundamental physical phenomena associated with stockpile performance, safety, and reliability, as well as the preservation and enhancement of core science and technology competencies within the Department of Energy's (DOE) National Nuclear Security Administration/Defense Programs (NNSA/DP). The NNSA/DP Office of Research, Development and Simulation, in coordination with the Inertial Confinement Fusion and High Yield Campaign, is responsible for developing, maintaining, and integrating all technical and scientific capabilities necessary to execute the Stockpile Stewardship Program. Research activities supporting the Stockpile Stewardship Program are conducted primarily at the three NNSA/DP laboratories: the Lawrence Livermore National Laboratory (LLNL), the Los Alamos National Laboratory (LANL), and the Sandia National Laboratories (SNL), and at several other NNSA-supported organizations such as the Nevada Test Site (NTS), the Naval Research Laboratory (NRL), General Atomics, Inc. (GA), and the University of Rochester Laboratory for Laser Energetics (UR/LLE).

Recent studies such as the National Academies' report, *Rising Above the Gathering Storm: Energizing and Employing America for a Brighter Economic Future* (Produced by the National Academies Press, 2006) conclude that this nation must prepare with great urgency to preserve its strategic and economic security by increasing the number of engineers and scientists. This will require increased government funded support. NNSA/DP identified a similar urgent need to support future capabilities within the U.S. in the areas of fundamental science essential to the Stockpile Stewardship Program, such as Materials, High-Energy-Density Physics, and Nuclear Sciences. The importance of maintaining our capabilities is more imperative as the NNSA transforms the nuclear weapons complex to an agile, responsive program (Complex 2030: A Preferred Infrastructure Planning Scenario for a Nuclear Weapons Complex Able to Meet the Threats of the 21st Century, 2006). New scientists and engineers are essential to driving the science, technology, and engineering base.

Stewardship Science Academic Alliances Program Objectives

The objectives of the Stewardship Science Academic Alliances Program are to:

1. support the U.S. scientific community by funding research projects at universities in the areas of fundamental science and technology critical to Stockpile Stewardship, with a focus on those areas not supported by other federal agencies, and for which there is a recruiting need within the NNSA/DP laboratories;
2. provide advanced experimental measurement techniques in selected areas of Condensed Matter Physics and Materials Science, Hydrodynamics, Plasma and High-Energy-Density Physics, Fluid Dynamics, and Low-Energy Nuclear Science;
3. provide opportunities for intellectual challenge and collaboration by promoting scientific interactions and personnel exchanges between the academic community and scientists at the NNSA/DP laboratories;
4. increase the availability of unique experimental facilities sited at the NNSA/DP laboratories to the academic community, particularly for collaborations in areas of relevance to Stockpile Stewardship; and
5. develop and maintain a long-term recruiting pipeline to the NNSA/DP laboratories by increasing the visibility of the NNSA/DP scientific activities to the U.S. faculty and student communities.

The Stewardship Science Academic Alliances (SSAA) Program is a continuation of the currently funded SSAA Grant and Cooperative Agreement Program sponsored by the Office of Research, Development and Simulation in the U.S. Department of Energy (DOE) – NNSA/DP. Research Grant Awards (typically single-investigator projects) are for one to three year projects of work at a funding level appropriate for the proposed scopes. Comprehensive, multi-disciplinary and multi-investigator Centers of Excellence are for five-year projects, managed as cooperative agreements with NNSA/DP. Four Centers of Excellence previously established in research areas supported by the NNSA/DP with a total budget of over \$6M are

nearing the end of their terms. This solicitation seeks proposals for new Centers or for the renewal of existing Centers. Depending on technical review, NNSA/DP may also support multiple Research Grant Awards in Physical Sciences, or, pending availability of funding, begin new additional Research Grants at this time.

Funded projects will be reviewed for progress at the end of each year. They will be renewed contingent upon assessed progress and availability of funds. Any financial assistance awarded as a result of this solicitation shall be contingent upon the availability of appropriated funds. No legal liability on the part of the government for the payment of any money shall arise unless and until appropriated funds are made available to the contracting officer for these awards.

Funding of Research Grant Awards, typically a few hundred thousand dollars per year, will be managed as Research Grants. Centers of Excellence with funding up to \$3,000,000 per year will be managed under a negotiated cooperative agreement with substantial involvement by NNSA/DP (see Section II.A “Type of Award Instrument”).

B. TECHNICAL SCOPE AND TOPICAL RESEARCH AREAS

Under the SSAA program, the NNSA will consider applications for unclassified university-based research in the physical sciences relevant to stockpile stewardship and that fall within the areas of research supported by the NNSA/DP Office of Research, Development and Simulation. All work funded through this program is to be unclassified. No classified proposals will be accepted. Work may be done on a non-interfering basis using NNSA’s facilities.

Research proposals are solicited in the following areas of physical sciences. Consideration will be given to proposals that emphasize experimental efforts, although outstanding theoretical projects that have a strong connection to experimental efforts will be considered as well. Proposals covering the following areas of physical sciences can be considered as Research Grants, typically a few hundred thousand dollars per year for a single award, for discipline-focused investigations. Proposals covering the following areas of physical sciences but with a comprehensive, multi-disciplinary and multi-investigator approach to a focus issue of high importance, with strong institutional support, can be considered for Cooperative Agreements not exceeding \$3,000,000 per year for a single award.

Properties of Materials Under Extreme Conditions and Hydrodynamics

Research proposals are solicited in the area of fundamental properties and response of materials under extreme conditions and hydrodynamics. The specific sub-areas of interest are:

1. static and dynamic (i.e., shock-compressed) properties of materials under conditions of high-pressure, high-temperature (1–10 eV regime), high-strain and high-strain-rate; including thermodynamic properties (equation-of-state, high-pressure phase diagram, pressure-induced phase transformation, etc.) and mechanical constitutive properties (plasticity and strength, failure, fracture, etc.);
2. hydrodynamic experiments in low-energy-density physics regimes where materials properties (strength, etc.) dominate;
3. novel advanced diagnostics and measurement techniques leading to the observation of physical phenomena at appropriate length and time scales with particular emphasis on in-situ techniques; and
4. validation of physics-based multi-scale models of the dynamic response of materials.

High-Energy-Density Physics

Research proposals are solicited in the area of high-energy-density physics and fluid dynamics, with particular emphasis on experimental investigations based on the utilization of lasers and/or pulsed-power technology. The specific sub-areas of interest are:

1. properties of matter in high-energy-density regimes, e.g. as those produced by lasers and/or pulsed power (this includes investigations in related areas of hydrodynamics, plasma physics, properties of materials under high-energy-density conditions, inertial fusion, atomic physics, radiation generation, and the interaction of radiation with matter);
2. astrophysical phenomena;
3. physics of turbulence and fluid interfaces; and
4. diagnostics and measurement techniques for the observation of physical phenomena under high-energy-density conditions.

Low-Energy Nuclear Science

Research proposals are solicited in the area of low-energy nuclear science. The specific sub-areas of interest are:

1. investigations leading to greater accuracy in the knowledge of low-energy cross sections of stable and unstable nuclei and corresponding reaction rates for neutron-, γ - and ion-induced reactions for both simulation and radiochemistry diagnosis;
2. advanced simulations and measurement techniques leading to improved radiation and particle detection methods, in terms of energy and spatial resolution;
3. physics of the fission process, including division of mass and charge as a function of excitation, production of energy, and the reaction properties of prompt fission products;
4. particle production and advanced diagnostic techniques relevant to high-energy proton radiography and advanced diagnostic techniques relevant to X-ray radiography; and
5. experimental diagnostic techniques for laser or pulsed-power implosion systems.

C. USE OF EXPERIMENT FACILITIES

For applicants who propose investigations in the Physical Sciences area requiring the use of facilities at any of the NNSA/DP laboratories, the applicant must make arrangements with the specific laboratory. Examples of experimental facilities within the NNSA/DP laboratory complex include the Los Alamos Neutron Science Center (LANSCE), the National High Magnetic Field Laboratory, and the Trident Laser Laboratory at LANL; the refurbished Z-accelerator, the Z-Beamlet laser, and the Saturn Facility at SNL; various high-pressure, shock physics and laser facilities within the DP complex; the National Ignition Facility (NIF) at LLNL; the Omega laser facility at the University of Rochester; etc. Potential applicants are responsible for contacting the appropriate laboratory directly to discuss any facility-related activities and utilization, including beam-time availability, shot schedule, etc. A letter from either the facility manager or program manager indicating 1) the level of communication between the Principal Investigator (PI) and facility management; 2) the feasibility of the proposed use of the facility; and 3) arrangements pursued regarding facility availability for this project must be included with the application. For some facilities, the applicant may need to compete in a separate user facility access solicitation. NNSA/DP will view favorably applicants who are already successful in getting access to such experimental facilities for the proposed work if they pass the rigorous review conducted by this solicitation. Applicants must acknowledge, accept and comply with all security, environmental, safety and health rules and regulations in place at any of these laboratories when university personnel are working at these sites. In addition, applicants may propose the use of national (or international) user facilities, such as synchrotron-radiation light sources, neutron sources, etc., by requesting user access to these facilities through the respective program review procedures. If the use of such a facility is critical to the success of the proposed project, the application shall include a description of the status of the user access request and any available information supporting the likelihood of the requested

access being granted. A description of national scientific user facilities supported by the DOE Office of Basic Energy Sciences can be found at: <http://www.er.doe.gov/production/bes/BESfacilities.htm>. NNSA/DP will similarly view favorably SSAA applicants who are already successful in getting access to such Office of Science facilities.

PART II – AWARD INFORMATION

A. TYPE OF AWARD INSTRUMENT.

NNSA anticipates awarding both grants and cooperative agreements under this program announcement. If it is determined that a cooperative agreement is the appropriate award instrument, the nature of the Federal involvement will be included in a special award condition.

B. ESTIMATED FUNDING.

Approximately \$6,000,000.00 is expected to be available for new awards under this announcement.

C. MAXIMUM AND MINIMUM AWARD SIZE

Ceiling (i.e., the maximum amount for an individual award made under this announcement) \$ None (see Part II E. below)

Floor (i.e., the minimum amount for an individual award made under this announcement) \$ None (see Part II E. below)

D. EXPECTED NUMBER OF AWARDS.

The number of awards made in each topic area and the award size will depend on the availability of appropriated funds, the distribution of funds for selections in each topic area based on portfolio management considerations, merit review results and the application of program policy factors.

E. ANTICIPATED AWARD SIZE.

With the exception of Cooperative Agreements, there is no ceiling for an individual award made under this announcement (i.e. the maximum amount). There is no floor on individual awards made under this announcement (i.e. the minimum amount). Cooperative Agreements must not exceed \$3,000,000.00 per year for a single award.

F. PERIOD OF PERFORMANCE.

NNSA anticipates making awards that will run for up to 5 years.

G. TYPE OF APPLICATION.

NNSA will accept new and renewal applications under this announcement. Renewal applications are requests for additional funding for a period subsequent to that provided by a current award. Renewal applications compete with all other applications and must be submitted by any established due date/deadline or at least six months before additional funding is required if there is no specified due date/deadline. In preparing a renewal application, applicants should assume that reviewers will not have access to previous applications. The application should be developed as fully as though the applicant were applying for the first time. The application must include all the information required for a new project, plus the project narrative section should discuss the results from prior work.

PART III – ELIGIBILITY INFORMATION

A. ELIGIBLE APPLICANTS.

In accordance with 10 CFR 600.6(b), eligibility for award is restricted to:

Academic institutions which will support the NNSA goals of providing future nuclear laboratory scientists and engineers and increased opportunities for collaboration between NNSA and the academic community regarding investigation into materials, high-energy-density physics and the nuclear sciences. This solicitation invites applications for proposals from applicants through Principal Investigators who are members of the teaching/research faculty of a U.S. university or academic institution (adjunct professors, visiting professors and post-doctoral fellows are ineligible to be Principal Investigators). Non-U.S. citizens at the U.S. institutions described above are eligible to be Principal Investigators. Investigators at foreign institutions may not be Principal Investigators, but may receive funding under a Sub-award. NNSA must be notified of any foreign nationals supported by the funded work, and there may be some restrictions on their participation at certain facilities and conferences. NNSA/DP laboratories are not eligible to receive any funding associated with this solicitation.

B. COST SHARING.

Cost sharing is not required.

C. OTHER ELIGIBILITY REQUIREMENTS.

Recipients and sub-recipients of NNSA financial assistance shall comply with the applicable requirements of 10 CFR Part 600, Federal Statutes, the OMB Circulars, and other Government-wide guidance implementing 10 CFR Part 600; and the requirements identified in Appendix A of 10 CFR Part 600.

PART IV – APPLICATION AND SUBMISSION INFORMATION

A. ADDRESS TO REQUEST APPLICATION PACKAGE.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement and then follow the prompts to download the application package. NOTE: You will not be able to download the Application Package unless you have installed PureEdge Viewer (See: <http://www.grants.gov/DownloadViewer>).

B. LETTER OF INTENT AND PRE-APPLICATION.

1. Letter of Intent.

Letters of Intent are not required.

2. Pre-application.

Pre-applications are not required.

C. CONTENT AND FORM OF APPLICATION – SF 424

You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL- Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

1. SF 424 - Application for Federal Assistance.

Complete all required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (Icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 21 can be found on the Applicant and Recipient Page at <http://grants.pr.doe.gov>, under Certifications and Assurances.

2. Other Attachments Form.

Submit the following files with your application and attach them to the Other Attachments Form. Click on “Add Mandatory Other Attachment” to attach the Project Narrative. Click on “Add Optional Other Attachment,” to attach the other files.

Project Narrative File - Mandatory Other Attachment

The project narrative must not exceed 20 pages, including cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right). EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE. The font must not be smaller than Arial 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application. See Part VIII.D for instructions on how to mark proprietary application information. Save the information in a single file named “Project.pdf,” and click on “Add Mandatory Other Attachment” to attach.

The project narrative must include:

Project Narrative 1

Cover Page: The Narrative cover page must indicate a)the name and type of organization, b)the announcement number, c)the project title, d)the technical and business points of contact for the applicant, denoting the names, titles, addresses, telephone and facsimile numbers, and electronic mail addresses, e)a statement that the document is an application, includes the Principal Investigator’s name, telephone number, facsimile number, e-mail address, and academic institution; f)the DOE Grant identification number for projects currently funded under the current Stewardship Science Academic Alliances Program – Solicitation Number DE-PS52-04NA25930; g)specific area(s) of the technical scope of this solicitation relevant to the proposed project using the nomenclature indicated in Part I, Section B (to be used in the evaluation/review process); and h)clear indication whether the proposed technical activities described in the application are to be considered as a Center of Excellence for a Cooperative Agreement or a project for a Research Grant.

Project Objectives. This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.

Project Timetable: This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period. Successful applicants must use this project timetable to report progress.

Project Narrative 2

Bibliography and References Cited

Provide a bibliography of any references cited in the Project Narrative. Each reference must include the names of all authors (in the same sequence in which they appear in the publication), the article and journal title, book title, volume number, page numbers, and year of publication. Include only bibliographic citations. Applicants should be especially careful to follow scholarly practices in providing citations for source materials relied upon when preparing any section of the application. In order to reduce the number of files attached to your application, please provide the Bibliography and References Cited information as an appendix to your Project Narrative. This appendix will not count in the Project Narrative page limitation.

Facilities and Other Resources

This information is used to assess the capability of the organizational resources, including sub-awardee resources, available to perform the effort proposed. Identify the facilities to be used (laboratory, office, laser, etc.) If appropriate, indicate their capacities, pertinent resources that are directly applicable to the proposed work. Describe other resources available to the project (such as machine shop, electronic shop) and the extent to which they would be available to the project. In order to reduce the number of files attached to your application, please provide the facility and other resource information as an appendix to your Project Narrative; this appendix will not count in the Project Narrative page limitation.

Equipment

List major items of equipment already available for this project and, if appropriate, identify location and pertinent capabilities. In order to reduce the number of files attached to your application, please provide the equipment information as an appendix to your Project Narrative. This appendix will not count in the Project Narrative page limitation.

Letter from the facility manager or program manager if required (see Part I C "Use of Experiment Facilities).

Refer to Part V for additional Project Narrative requirements.

Project Summary/Abstract File

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right) with font not smaller than Arial 11 point. Save this information in a file named "Summary.pdf," and click on "Add Optional Other Attachment" to attach.

Resume File (Optional)

Provide a resume for each key person proposed, including subawardees and consultants if they meet the definition of key person. A key person is any individual who contributes in a substantive, measurable way to the execution of the project. Save all resumes in a single file named "bio.pdf" and click on "Add Optional Other Attachment" to attach. The biographical information for each resume must not exceed 2 pages when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) with font not smaller than Arial 11 point and should include the following information, if applicable:

Education and Training. Undergraduate, graduate and postdoctoral training, provide institution, major/area, degree and year.

Professional Experience. Beginning with the current position list, in chronological order, professional/academic positions with a brief description.

Publications. Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically.

Patents, copyrights and software systems developed may be provided in addition to or substituted for publications.

Synergistic Activities. List no more than 5 professional and scholarly activities related to the effort proposed.

SF 424 A Excel, Budget Information – Non-Construction Programs File:

You must provide a separate budget for each year of support requested and a cumulative budget for the total project period. Use the SF 424 A Excel, "Budget Information – Non Construction Programs" form on the Applicant and Recipient Page at <http://grants.pr.doe.gov>. You may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (See PART IV, G). Save the information in a single file named "SF424A.xls," and click on "Add Optional Other Attachment" to attach.

Budget Justification File

You must justify the costs proposed in each Object Class Category/Cost Classification category (e.g., identify key persons and personnel categories and the estimated costs for each person or category; provide a list of equipment and cost of each item; identify proposed subaward/consultant work and cost of each subaward/consultant; describe purpose of proposed travel, number of travelers and number of travel days; list general categories of supplies and amount for each category; and provide any other information you wish to support your budget). Provide the name of your cognizant/oversight agency, if you have one, and the name and phone number of the individual responsible for negotiating your indirect rates. If cost sharing is required, you must have a letter from each third party contributing cost sharing (i.e., a party other than the organization submitting the application) stating that the third party is committed to providing a specific minimum dollar amount of cost sharing. In the budget justification, identify the following information for each third party contributing cost sharing: (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed cost sharing – cash, services, or property. By submitting your application, you are providing assurance that you have signed letters of commitment. Successful applicants will be required to submit these signed letters of commitments. Save the budget justification information in a single file named “Budget.pdf,” and click on “Add Optional Other Attachment” to attach.

Subaward Budget File(s)

You must provide a separate budget (i.e., budget for each budget year and a cumulative budget) for each subawardee that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (whichever is less). Use the SF 424 A Excel for Non Construction Programs or the SF 424 C Excel for Construction Programs. These forms are found on the Applicant and Recipient Page at <http://grants.pr.doe.gov>. Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee’s name (plus .xls) as the file name (e.g., ucla.xls or energyres.xls), and click on “Add Optional Other Attachment” to attach.

Other

NEPA information; Project Management Plan (should include project objectives, task structure, milestones tied to goals, schedules and performance measures for evaluating progress with regard to key tasks/and/or deliverables, responsible organization performing the work and budget to complete each task (where the budget should be organized according to budget periods/no-go decision points); and a discussion of approaches to resolve challenges and barriers.)

3. SF-LLL Disclosure of Lobbying Activities

If applicable, complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

Summary of Required Forms/Files

Your application must include the forms from the application package and other documents as shown below:

Name of Document	Format	File Name
SF 424 - Application for Federal Assistance		N/A
Other Attachments Form: Attach the following files to this form:		N/A
Project Narrative File	PDF	Project.pdf
Project Summary/Abstract File	PDF	Summary.pdf
Resume File	PDF	Bio.pdf
SF 424A Excel - Budget Information for Non-Construction Programs File	Excel	SF242A.xls

D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS.

If selected for award, NNSA reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- a. Indirect cost information
- b. Other budget information
- c. Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- d. Representation of Limited Rights Data and Restricted Software, if applicable
- e. Commitment Letter from Third Parties Contributing to Cost Sharing, if applicable

E. SUBMISSION DATES AND TIMES

1. Pre-application Due Date.

Pre-applications are not required.

2. Application Due Date.

Applications should be received by 05/15/2007, 11:59:59 PM Eastern Time. You are encouraged to transmit your application well before the deadline. The Grants.gov Helpdesk is not available after 9:00 PM Eastern Time. APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

F. INTERGOVERNMENTAL REVIEW

This program is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs.

G. FUNDING RESTRICTIONS.

Cost Principles. Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR part 600. The cost principles for commercial organization are in FAR Part 31.

Pre-award Costs. Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR part 600. Recipients must obtain the prior approval of the contracting officer for any pre-award costs that are for periods greater than this 90 day calendar period.

Pre-award costs are incurred at the applicant's risk. DOE is under no obligation to reimburse such costs if for any reason the applicant does not receive an award or if the award is made for a lesser amount than the applicant expected.

H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

1. Where to Submit.

APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV TO BE CONSIDERED FOR AWARD. Submit electronic applications through the "Apply for Grants" function at www.Grants.gov. If you have problems completing the registration process or submitting your application, call Grants.gov at 1-800-518-4726 or send an e-mail to support@grants.gov.

2. Registration Process.

You must COMPLETE the one-time registration process (all steps) before you may submit your first

application through Grants.gov (See www.grants.gov/GetStarted. **We recommend that you start this process at least three weeks before the application due date.** It may take 21 days or more to complete the entire process. Use the Grants.gov Organizational Registration Checklists at <http://www.grants.gov/assets/OrganizationRegCheck.doc> to guide you through the process. **IMPORTANT:** During the CCR registration process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called “Marketing Partner identification Number” (MPIN). When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e. Grants.gov registration).

3. Application Receipt Notices.

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of five e-mails. It is extremely important that the AOR watch for and save each of the e-mails. It may take up to two (2) business days from application submission to receipt of e-mail Number 2. When the AOR receives email Number 5, it is their responsibility to follow the instructions in the email to logon to IIPS and verify that their application was received by DOE. You will need the Submission Receipt Number (e-mail Number 1) to track a submission. The titles of the five e-mails are:

Number 1 - Grants.gov Submission Receipt Number

Number 2 - Grants.gov Submission Validation Receipt for Application Number

Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number

Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number

Number 5 - DOE e-Center Grant Application Received

The last e-mail will contain instructions for the AOR to register with the DOE e-Center. If the AOR is already registered with the DOE e-Center, the title of the last e-mail changes to:

Number 5 - DOE e-Center Grant Application Received and Matched

This e-mail will contain the direct link to the application in IIPS. The AOR will need to enter their DOE e-Center user id and password to access the application.

Part V - APPLICATION REVIEW INFORMATION

A. CRITERIA

1. Initial Review Criteria.

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that (1) the applicant is eligible for an award; (2) the information required by the announcement has been submitted; (3) all mandatory requirements are satisfied; and (4) the proposed project is responsive to the objectives of the funding opportunity announcement.

2. Merit Review Criteria.

All applications meeting the requirements of the solicitation will be evaluated. The evaluation criteria used in the technical peer review process to evaluate the applications in the scientific/technical merit review are listed below, in order of importance.

1. Scientific and technical merit or the educational benefits of the project, including innovativeness, originality, and its expected impact on the area of technical scope addressed. The potential to train students in scientific areas defined by the technical scope is important. For projects currently receiving funding under this program, the quality and scientific impact of recent results and accomplishments and the prior record of success in these areas shall be considered.
2. Appropriateness of the proposed method or approach and its consistency with the objective of the SSAA program to focus on advanced experimental investigations.
3. Competency of the applicant's key personnel and adequacy of proposed resources.
4. Feasibility of plans for carrying out the proposed research, considering such factors as: appropriateness of the budget, facility compatibility, other commitments, competition and timing.

For Centers, evaluation of support by the host institution and plans for inter-disciplinary teaming shall be considered.

3. Other Selection Factors.

None.

B. REVIEW AND SELECTION PROCESS.

1. Merit Review.

Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance and Unsolicited Proposals." This guide is available under Financial Assistance, Regulations and Guidance at <http://professionals.pr.doe.gov/ma5/ma-5web.nsf/?Open>.

2. Selection.

The Selection Official will consider the merit review recommendation, program policy factors, and the amount of funds available.

3. Discussions and Award.

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR part 600; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES.

NNSA anticipates notifying applicants selected for award by the end of July 2007 and making some awards by the end of Fiscal Year 2007 and the remainder in Fiscal Year 2008.

Part VI - AWARD ADMINISTRATION INFORMATION

A. AWARD NOTICES.

1. Notice of Selection.

NNSA will notify applicants selected for award. This notice of selection is not authorization to begin spending funds (See Part IV.G with respect to the allowability of pre-award costs).

Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.

2. Notice of Award.

A Notice of Financial Assistance Award issued by the contracting officer is the authorizing award document. It normally includes, either as an attachment or by reference: 1. Special Terms and Conditions; 2. Applicable program regulations, if any; 3. Application as approved by NNSA.; 4. DOE assistance regulations at 10 CFR part 600, or, for Federal Demonstration Partnership (FDP) institutions, the FDP terms and conditions; 5. National Policy Assurances To Be Incorporated As Award Terms; 6. Budget Summary; and 7. Federal Assistance Reporting Checklist, which identifies the reporting requirements.

B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.

1. Administrative Requirements.

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR part 600 (See: <http://ecfr.gpoaccess.gov>), except for grants made to Federal Demonstration Partnership (FDP) institutions. The FDP terms and conditions and DOE FDP agency specific

terms and conditions are located on the National Science Foundation web site at http://www.nsf.gov/awards/managing/fed_dem_part.jsp.

2. Special Terms and Conditions and National Policy Requirements.

Special Terms and Conditions and National Policy Requirements.

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at <http://grants.pr.doe.gov>. The National Policy Assurances To Be Incorporated As Award Terms are located at <http://grants.pr.doe.gov>.

Intellectual Property Provisions.

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at http://www.gc.doe.gov/techtrans/sipp_matrix.html.

Statement of Substantial Involvement.

Either a grant or cooperative agreement may be awarded under this program announcement. If the award is a cooperative agreement, the DOE Specialist and DOE Project Officer will negotiate a Statement of Substantial Involvement prior to award.

C. REPORTING.

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. See <http://grants.pr.doe.gov> for the proposed Checklist for this program.

PART VII - QUESTIONS/AGENCY CONTACTS

A. QUESTIONS

Questions regarding the content of the announcement must be submitted through the "Submit Question" feature of the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Locate the program announcement on IIPS and then click on the "Submit Question" button. Enter required information. You will receive an electronic notification that your question has been answered. NNSA will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@grants.gov. NNSA cannot answer these questions.

B. Agency Contact

Name: Ms. Bertha Crisp

E-mail address: bcrisp@doeal.gov

Fax:

Telephone:

PART VIII - OTHER INFORMATION

A. MODIFICATIONS.

Notices of any modifications to this announcement will be posted on Grants.gov and the DOE Industry Interactive Procurement System (IIPS). You can receive an e-mail when a modification or an announcement message is posted by joining the mailing list for this announcement through the link in IIPS. When you download the application at Grants.gov, you can also register to receive notifications of changes through Grants.gov.

B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE.

DOE reserves the right, without qualification, to reject any or all applications received in response to this announcement and to select any application, in whole or in part, as a basis for negotiation and/or award.

C. COMMITMENT OF PUBLIC FUNDS.

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

D. PROPRIETARY APPLICATION INFORMATION.

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

“The data contained in pages _____ of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government’s right to use or disclose data obtained without restriction from any source, including the applicant.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“The following contains proprietary information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL.

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM.

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions. (See “Notice of Right to Request Patent Waiver” in paragraph G below.)

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE’s own needs or to insure the commercialization of technology developed under a DOE agreement.

Special Protected Data Statutes.

This program is covered by a special protected data statute. The provisions of the statute provide for the

protection from public disclosure, for a period of up to years from the development of the information, of data that would be trade secret, or commercial or financial information that is privileged or confidential, if the information had been obtained from a non-Federal party. Generally, the provision entitled, Rights in Data Programs Covered Under Special Protected Data Statutes, (10 CFR 600 Appendix A to Subpart D), would apply to an award made under this announcement. This provision will identify data or categories of data first produced in the performance of the award that will be made available to the public, notwithstanding the statutory authority to withhold data from public dissemination, and will also identify data that will be recognized by the parties as protected data.

G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER.

Applicants may request a waiver of all or any part of the rights of the United States in inventions conceived or first actually reduced to practice in performance of an agreement as a result of this announcement, in advance of or within 30 days after the effective date of the award. Even if such advance waiver is not requested or the request is denied, the recipient will have a continuing right under the award to request a waiver of the rights of the United States in identified inventions, i.e., individual inventions conceived or first actually reduced to practice in performance of the award. Any patent waiver that may be granted is subject to certain terms and conditions in 10 CFR 784.

Domestic small businesses and domestic nonprofit organizations will receive the patent rights clause at 37 CFR 401.14, i.e., the implementation of the Bayh-Dole Act. This clause permits domestic small business and domestic nonprofit organizations to retain title to subject inventions. Therefore, small businesses and nonprofit organizations do not need to request a waiver.

H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES.

Eligible activities under this program include those which describe and promote the understanding of scientific and technical aspects of specific energy technologies, but not those which encourage or support political activities such as the collection and dissemination of information related to potential, planned or pending legislation.

APPENDICES/REFERENCE MATERIAL REFERENCE MATERIAL

“Amendment” means a revision to a solicitation.

“Applicant” as applied to 1) new Research Grant proposals under this solicitation means the U.S. university or academic institution committed to the execution of the project under the direction of its Principal Investigator, or 2) Center of Excellence proposals under this solicitation means either (a) the lead U.S. university or academic institution of the proposed Center committed to the execution of the project under the direction of a Center Director or Principal Investigator or (b) the consortium or other business entity made up of U.S. universities and/or academic institutions proposing the Center of Excellence.

“Application” means the documentation submitted in response to this solicitation.

“Authorized Organization Representative” is the person with assigned privileges who is authorized to submit grant applications through Grants.gov on behalf of an organization. The privileges are assigned by the organization’s E-Business Point of Contact designated in the CCR.

“Award” means the written documentation executed by a NNSA Contracting Officer, after an applicant is selected, which contains the terms and conditions for providing financial assistance to the applicant(s).

“Budget” means the cost expenditure plan submitted in the application, including both the NNSA contribution and that provided by the applicant institution(s).

“Budget Period” means an interval of time, specified in the award, into which a project is divided for budgeting and funding purposes.

“Center of Excellence” means a comprehensive, multi-disciplinary, multi-investigator effort focused on a topical research area and whose technical components are integrated into a scientifically world-class and unique

capability.

“CFDA” is the Catalog of Federal Domestic Assistance. The CFDA provides information on Federal Assistance Programs. Information on Federal Grant Programs can be found at <http://www.cfda.gov>.

“Contracting Officer” means the NNSA official authorized to execute awards on behalf of NNSA and who is responsible for the business management and non-program aspects of the financial assistance process.

“Cooperative Agreement” means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and Substantial Involvement (see definition below) is anticipated between DOE and the Applicant during the performance of the contemplated activity.

“Cost Sharing” means the respective share of total project costs required to be contributed by the applicant institution(s) and by NNSA. The required percentage of applicant(s) cost share is to be applied to the total project cost (i.e., the sum of applicant plus NNSA cost shares) rather than to the NNSA contribution alone.

“Central Contractor Registry (CCR)” is the primary database which collects, validates, stores and disseminates data in support of agency missions. Funding Opportunity Announcements which require application submission through Grants.gov require that the organization first be registered in the CCR at <http://www.grants.gov/CCRRegister>.

“Credential Provider” is an organization that validates the electronic identity of an individual through electronic credentials, PINS, and passwords for Grants.gov. Funding Opportunity Announcements which require application submission through Grants.gov require that the individual applying on behalf of an organization first be registered with the Credential Provider at <https://apply.grants.gov/OrcRegister>.

“Data Universal Numbering System (DUNS) Number” is a unique nine-character identification number issued by Dun and Bradstreet (D&B). Organizations must have a DUNS number prior to registering in the CCR. Call 1-866-705-5711 to receive one free of charge. <http://www.grants.gov/RequestaDUNS>

“E-Business Point of contact (POC)” is the individual who is designated as the Electronic Business Point of contact in the CCR registration. This person is the sole authority of the organization with the capability of designating or revoking an individual’s ability to submit grant applications on behalf of their organization through Grants.gov.

“Financial Assistance” means the transfer of money or property to a recipient or sub-recipient to accomplish a public purpose of support authorized by Federal Statute through Research Grants and Sub-awards. In NNSA, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

“Funding Opportunity Announcement (FOA)” is a publicly available document by which a Federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding opportunity announcements may be known as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program.

“Grant” means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and no Substantial Involvement is anticipated between DOE and the Applicant during the performance of the contemplated activity.

“Grants.gov” is the “storefront” web portal which allows organizations to electronically find and apply for competitive grant opportunities from all Federal grant-making agencies. Grants.gov is THE single access point for over 900 grant programs offered by the 26 Federal grant-making agencies: <http://www.grants.gov>.

“Industry Interactive Procurement System (IIPS)” is DOE’s Internet-based procurement system which allows

access to DOE's business opportunities database, allows user registration and submittal of Applications:
<http://e-center.doe.gov>.

"Key Personnel" refers to the individuals who will have significant roles in planning and implementation of the proposed project.

"Marketing Partner Identification Number (MPIN)" is a very important password designated by your organization when registering in CCR. The E-Business Point of Contact will need the MPIN to login to Grants.gov to assign privileges to the individuals authorized to submit applications on behalf of your organization. The MPIN must have 9 characters containing at least one capitalized alpha character and one number (no spaces or specials characters permitted).

"Participant" for purposes of this Solicitation only, means any entity, except the Applicant substantially involved in a Consortium, or other business arrangement (including all parties to the Application at any tier), responding to the Solicitation.

"Principal Investigator" as applied to proposals under this solicitation means any member of the teaching/research faculty of a U.S. university or academic institution (adjunct professors, visiting professor and post-doctoral fellows are ineligible to be Principal Investigators). This term refers to the single individual responsible for the management of the proposal/project.

"Project" means the set of activities described in an application, State plan, or other document that is approved by NNSA for financial assistance (whether such financial assistance represents all or only a portion of the support necessary to carry out those activities).

"Project Period" means the total period of time indicated in an award during which NNSA expects to provide support contingent upon satisfactory progress and available funds. A Project Period may consist of one or more Budget Periods and may be extended by NNSA.

"Proposal" is the term used in IIPS meaning the documentation submitted in response to a solicitation. Also see Application.

"Pure Edge View" is a small, free program which allows you to access, complete and submit applications electronically and securely through Grants.gov. You will not be able to access, complete, or submit an application through Grants.gov, unless the Pure Edge Viewer is downloaded on your computer.
<http://www.grants.gov/DownloadViewer>

"Recipient" or "Grantee" means the entity that receives an award from NNSA and is financially accountable for the use of any NNSA funds provided for the performance of the project, and is legally responsible for carrying out the terms and conditions of the award.

"Research Grant" means a financial assistance instrument used by NNSA to transfer money or property for research work when the principal purpose of the research is to accomplish a public purpose of support or stimulation authorized by Federal Statute, and no substantial involvement is anticipated between NNSA and the applicant during the performance of the contemplated activity.

"Selection" means the determination by the DOE Selection Official that negotiations take place for certain Projects with the intent of awarding a Financial Assistance instrument.

"Selection Official" means the DOE official designated to select Applications for negotiation toward Award under a subject solicitation.

"Solicitation" means a document that requests the submission of applications for support and that describes the objectives, applicant and project eligibility requirements, desired performance activity, evaluation criteria, award terms and conditions, and other relevant information about the opportunity.

“Sub-award” means an award of Financial Assistance by a recipient to an eligible sub-recipient. The term may include a contract under a financial assistance award.

“Substantial Involvement” means involvement on the part of the government that includes direction that the applicant(s) is required to follow. Such involvement will be negotiated with each applicant prior to signing any agreement.

“Total Project Cost” means all the funds required to complete the effort proposed by the applicant(s), including NNSA funds plus all other funds that will be committed by the applicant(s) as cost sharing.